

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE ([HTTP://ARPA-E.ENERGY.GOV/?Q=FAQ/GENERAL-QUESTIONS](http://arpa-e.energy.gov/?Q=FAQ/GENERAL-QUESTIONS)) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

I. Concept Paper Phase Questions:

Q1. Can I speak or meet with the ARPA-E program director or other ARPA-E personnel about this funding opportunity announcement?

ANSWER: No. Upon the issuance of this Funding Opportunity Announcement (FOA), ARPA-E Program Directors and other ARPA-E personnel are prohibited from communicating (in writing or otherwise) with Applicants, or potential Applicants regarding the FOA. This "quiet period" remains in effect until ARPA-E's public announcement of its project selections. During the "quiet period," Applicants may submit questions regarding the FOA to ARPA-E-CO@hq.doe.gov with the FOA name and number in the subject line. Applicants may also submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov with the FOA name and number in the subject line. ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). E-mails sent to other e-mail addresses will be disregarded.

Q2. I submitted a Concept Paper to the ARPA-E OPEN 2021 funding opportunity that would be a good fit for the the DE-FOA-0002530 ONWARD funding Opportunity. Should I submit my Concept Paper to the ONWARD Funding Opportunity also?

ANSWER: Applicants who submitted ONWARD eligible Concept Papers to the OPEN 2021 FOA but would rather submit to either the ONWARD FOA or ONWARD SBIR/STTR FOA, should send a withdrawal request to ARPA-E-CO@hq.doe.gov including their OPEN 2021 Concept Paper Control Number. ARPA-E will then withdraw that Concept Paper and the Applicant can then submit a Concept Paper to the applicable ONWARD FOA instead.

Q3. Would this project consider computational/theoretical work.

ANSWER: ARPA-E will not pre-assess an applicant's proposal. Prospective applicants must review the technical requirements of the FOA and independently determine whether their proposed concept warrants a submission.

Q4. Is there a difference between DE-FOA-0002530 ONWARD and DE-FOA-0002531 ONWARD SBIR/STTR, other than the latter being through the SBIR? (difference in terms of application content, etc.?)

ANSWER: No. However, note that small businesses that qualify as a "Small Business Concern", as defined in the SBA's "Guide to SBIR/STTR Program Eligibility" (http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf) may apply to only one of the two ARPA-E ONWARDS FOAs: DE-FOA-0002531 (SBIR/STTR) or DE-FOA-0002530. Small businesses that qualify as "Small Business Concerns" are strongly encouraged to apply under the former (SBIR/STTR FOA). To determine eligibility as a "Small Business Concern" under DE-FOA-0002531 (SBIR/STTR), please review the eligibility requirements in Sections III.A – III.D of that FOA.

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Q5. The ONWARD and ONWARD SBIR/STTR FOA's appear identical, apart from one apparently being administered as an ARPA-e award and the other being administered as a SBIR/STTR award.

Can you indicate what this distinction means in practice? All other technical narrative & administrative requirements appear the same.

ANSWER: The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are highly competitive programs that encourage domestic small businesses to engage in Federal Research/Research and Development (R/R&D) with the potential for commercialization. More information about SBIR/STTR awards can be found at <https://www.sbir.gov>.

Q6. Transmutex SA is a Swiss company that has a partnership with Argonne National Laboratory (under review by the DOE) for the development of the Pyro-Processing technology for spent nuclear fuel.

Would it be possible to apply for funding through the DE-FOA-0002530 that ARPA-E recently published?

ANSWER: Please refer to Section III.A.3 of the FOA: eligibility information for foreign entities.

Q7. Would be interested in a novel reactor design for burning the nuclear waste? Particularly, we are looking at source-driven subcritical reactor design. The purpose would would to come up with an optimum fuel mixture can effectively burn the waste in a reasonable time, and therefore reduce the monitoring of a storage facility from 300,000 yrs to 300 years.

ANSWER: ARPA-E will not pre-assess an applicant's proposal. Prospective applicants must review the technical requirements of the FOA and independently determine whether their proposed concept warrants a submission.

Q8. The following requirement is included on page 41 of the FOA (Content and Form of Concept Papers: c. Proposed Work): "Describe the final deliverable(s) for the project and the overall technical approach used to achieve project objectives, including a proposed budget and justification for level of proposed funding."

Please advise:

- Is this a requirement for us to include a detailed line-item budget and related Budget Justification at the Concept Paper stage?**
- Are applicants bound by their proposed budgets and proposed cost share at the Concept Paper stage?**

ANSWER: 1. Section IV.B of the FOA describes required forms for Full Applications, which includes a link to ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>), where applicants may find the SF-424 and Budget Justification Workbook. Section IV.C of the FOA describes what is required at the Concept Paper stage.

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2. At the Full Application phase, in particular via the SF-424 and Budget Justification Workbook, applicants will have the opportunity to revise and clarify the budget initially proposed in their Concept Paper.

Q9. I'm seeking clarification on the cost share amount that is needed for our application that will be submitted to Funding Opportunity No. DE-FOA-0002530.

We will have 2 non-profit domestic educational institutions, one FFRDC, one for profit large company (not requesting any funding) and one foreign institution, which is the Australian Nuclear Science and Technology Organisation (ANSTO). ANSTO is a statutory body of the Australian government and is similar to our FFRDCs.

ANSWER: Please see Section III.B of the FOA for cost share information.

Q10. For the ONWARDS FOA, DE-FOA-0002530, Category 2, what is the definition of the background radiation? Is the 1000 R/hr or 10^4 - 10^5 neutron/s considered on contact to the sample or is it assumed that this is the dose rate at the measurement system detector?

ANSWER: The example radiation rates were estimated at a distance of approximately 30 cm from a process sample, see footnote 12 of the FOA.

Q11. I am intending to file a Category 3 application. In this relation I need little more details based on the following:

My name is *****. I am holder of US ***** - "*****"
***** *Redacted* *****.

As you see, this exceeds the scope of Category 3 filings - here are the following questions that need to be clarified:

1. The filing application shall be under Category 3 or different - need you specific directions.
2. As an individual, can I apply for the required fund share portion (5%) waiver - I am a retired engineer with limited financial ability.
3. Is my patent excluded from DOE rights to license the technology nationally and internationally or as per intellectual property law is not subject to this rule
4. Any additional suggestions for making this unique application compliance.

ANSWER: 1. ARPA-E will not pre-assess an applicant's proposal. Prospective applicants must review the technical requirements of the FOA and independently determine whether their proposed concept warrants a submission.

2. Please refer to Section III.B. Cost Sharing section of the FOA.

3. ARPA-E will not pre-assess an applicant's cost share eligibility. Applicants must review the eligibility and cost share requirements of the FOA to determine their cost share responsibility.

4. Please refer to model agreement documents, more specifically, model "Attachment 2s", under the relevant agreement type bullet on the ARPA-E website for the various rights and requirements related

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to intellectual property, available at <https://www.arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>.

5. ARPA-E will not pre-assess an applicant's proposal. Prospective applicants must review the technical requirements of the FOA and independently determine whether their proposed concept warrants a submission.

Q12. I have two questions about this FOA.

1. **Is it required to submit an intent to apply before submitting a concept paper?**
2. **Will a completed SF-424 form or other budget forms be submitted with the concept paper**

ANSWER: 1. Please refer to Section IV of the FOA for the application overview, forms, and content and form of concept papers and full applications. No intent to apply is required prior to submission of a concept paper.

2. Please see the response to Q8 above. Applicants must submit the SF-424 and Budget Justification Workbook at the Full Application stage.

II. Full Application Phase Questions:

Q13. An inquiry regarding a full proposal to the DE-FOA-0002530 – ONWARD.

For the full proposal submission, should the budget bind with the original budget number proposed in the concept paper? or can the budget be increased if the work scope becomes larger in the full proposal submission?

ANSWER: The budget submitted at the full application stage need not match the budget submitted at the concept paper stage. Note that full applications selected for award negotiations will go through budget negotiations before awards are issued. .

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Q14. Per the FOA, it says that sub recipients over 10% should include a budget justification template, and is to be merged into the lead institutions budget. I understand we include their budget in our lead budget as a subcontract, but this FOA implies we need to add their workbook within our workbook. Does that mean you are expecting us to add all the individual tabs for each subcontractors individual budgets into our lead budget justification excel file? So this could have a hundred tabs when all is said and done if that is the case. OR, are we to simply attach their standalone budget justification file within Exchange? Are there multiple spots a PI can upload multiple files? We as admin do not have access to the Exchange, so I am not sure how that works. The main question I really have is if we are to alter the existing budget template to add all the various tabs for subcontractors. Just sounds like room for error with teams adding in tabs to the existing sheet. I would have preferred a template that already has those in there for us to edit as necessary. Its going to give reference errors trying to link it to the original file a subK provided, since there are many internal calculations referring to specific pages.

The FAQ online does not address this question at this time.

ANSWER: Please refer to the Budget Justification/SF-424A Workbook Guidance which is published in the Required Application Documents section of the DE-FOA-0002530 funding opportunity announcement on the ARPA-E Funding Opportunity Exchange website. With regard to Subrecipients' budgets, please refer to the section on "Who must complete the budget justification workbook" section in the Budget Justification/SF-424A Workbook Guidance.

Q15. We are preparing a full application for the ARPA-E ONWARDS call. The tracking number for our concept paper is ***.**

Our team consists of a university lead and three national labs as participants. We are having difficulty providing the 5% cost share as the labs cannot provide any cost share due to tight restrictions on how they use flexible funds. While the university can provide its portion of the cost share, we are unable to cover cost share for the whole project due to our internal rules as a state university, in particular as we are only about a quarter of the project budget.

Would it be possible to reduce or waive the cost share requirement given the make-up of our team?

ANSWER: ARPA-E will not provide pre-submission assessments on a project team's specific cost sharing requirement. It is up to the applicant to determine if their proposed project team is eligible for a reduced cost share requirement described in Section III.B.3 of the FOA. ARPA-E does not anticipate allowing any further reductions in cost share requirements beyond what is described in the FOA.